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CALIFORNIA EMERGENCY MANAGEMENT AGENCY

January 12, 2009

Bill Martin, Emergency Services Manager
Yolo County
120 West Main St. Ste E
Woodland, Ca. 95695

Monitoring Report #M08-037

Dear Mr. Martin:

The Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, Jennifer Kolbe conducted a monitoring review for the purpose of monitoring Yolo County OHS Grant Programs. I wish to thank you and your staff for the courtesy extended to Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grants:

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015 - 113-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 06/30/08	\$555,380
2006-0071 - 113-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/09	\$418,298
2007-0008 - 113-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/10	\$108,096

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitors examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitors performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete.

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Yolo County does not have any findings for Grant years 2005-0015, 2006-0071 and 2007-0008.

If you need to correspond to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Jennifer Kolbe at 916-324-6118.

Sincerely,

A handwritten signature in black ink, appearing to read 'Brendan Murphy', with a stylized flourish at the end.

Brendan Murphy
Deputy Director

cc: Tracey Frazier, Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file



CALIFORNIA EMERGENCY MANAGEMENT AGENCY MONITORING NARRATIVE REPORT

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 to 06/30/08	\$555,380
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County of Yolo Operational Area			
AUTHORIZED AGENT:	Bill Martin	ADDRESS:	120 West Main Street Ste E Woodland, Ca. 95695
CONTACT EMAIL:	Bill.Martin@yolocounty.org		
CONTACT PHONE NUMBER:	(530)406-4930		
ALTERNATE POINT of CONTACT:	Kyle Noderer		
CONTACT EMAIL:	Kyle.Noderer@yolocounty.org		
PROGRAM REPRESENTATIVE:	Tracey Frazier	E-mail:	tracey.frazier@ohs.ca.gov
PHONE NUMBER:	(916)324-6342		
PROGRAM MONITOR:	Jennifer Kolbe	E-mail:	jennifer.kolbe@ohs.ca.gov
PHONE NUMBER:	(916) 324-6118	DATE OF MONITORING:	October 27-29, 2008

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Bill Martin	Emergency Services Manager	Yolo County Operational Area
Kyle Noderer	Emergency Services Planner	Yolo County Operational Area
Roxanne Schepens	Administrative Clerk	Yolo County Operational Area

Prepared by:

Jennifer Kolbe, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

Date

1/12/09

Approved by:

Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring & Audits Unit

Date

1/22/09

Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2	2				2
Grant Assurances	1	1				1
Grant Approval Notification	2	2				2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1				1	1
B. Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2				2	2
Training	1	1				1
Planning	1				1	1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1	1				1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1	1				1
D. Fiscal: Personnel Services						
Management and Administrative Services	3	3				3
Overtime/Back Fill	3				3	3
E. Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3	3				3
Property Management & Records Keeping	2	2				2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1	1				1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CFO Responsibility	1				1	1
Procurement Responsibility	1	1				1
Equipment & Property Management Responsibility	1	1				1
Total	49	38	0	0	11	49

Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required

MONITORING REPORT DETAIL

A. Administrative Review: Subgrantee in compliance (7). Not applicable for Subgrantee (1).
Total of 8 items.

1. **Review of Audit Report:** Subgrantee in compliance (2 items).
2. **Grant Assurances:** Subgrantee in compliance (1 item).
3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
4. **Performance Reports:** Subgrantee in compliance (1 item).
5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
6. **Publication of Materials:** Not applicable for Subgrantee (1 item).

B. Programmatic Review: Subgrantee in compliance (3 items). Not applicable for Subgrantee (3 items). Total of 6 items.

1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
2. **Exercise:** Not applicable for Subgrantee (2 items).
3. **Training:** Subgrantee in compliance (1 item).
4. **Planning:** Not applicable for Subgrantee (1 item).

C. Financial Management: Subgrantee in compliance (11 items). Not applicable for Subgrantee (3 items). Total of 14 items.

1. **Accounting System:** Subgrantee in compliance (8 items).
2. **Distribution of Funds:** Not applicable for Subgrantee (1 item).
3. **Advance of Funds:** Not applicable for Subgrantee (2 items).

Monitoring Report

4. **Change Request/Modifications:** Subgrantee in compliance (2 items).
 5. **Records Maintenance:** Subgrantee in compliance (1 item).
- D. Fiscal: Personnel Services:** Subgrantee in compliance (3 items). Not applicable for Subgrantee (3 items). Total of 6 items.
1. **Management and Administrative Services:** Subgrantee in compliance (3 items).
 2. **Overtime/Backfill and/or CTO:** Not applicable for Subgrantee (3 items).
- E. Fiscal: Procurement:** Subgrantee in compliance (5 items). Total of 5 items.
1. **Responsibility:** Subgrantee in compliance (1 item).
 2. **Methods of Procurement:** Subgrantee in compliance (4 items).
- F. Fiscal: Equipment & Property Management:** Subgrantee in compliance (5 items). Total of 5 items.
1. **Equipment Purchases:** Subgrantee in compliance (3 items).
 2. **Property and Records keeping:** Subgrantee in compliance (2 items).
- G. Subgrantee Monitoring & Oversight:** Subgrantee in compliance (3). Not applicable for Subgrantee (2 items). Total of 5 items.
- a. Audits of Subrecipients Responsibility: Subgrantee in compliance (1 item).
 - b. Management & Administration (M&A) Responsibility: Not applicable for Subgrantee (1 item).
 - c. Overtime/Backfill/CTO Responsibility: Not applicable for Subgrantee (1 item).
 - d. Procurement Responsibility: Subgrantee in compliance (1 item).
 - e. Equipment & Property Management Responsibility: Subgrantee in compliance (1 item).



COUNTY OF YOLO

Office of Emergency Services

William M. Martin
Emergency Services Manager

120 West Main St., Suite E Woodland, CA 95695
(530) 406-4930 FAX (530) 661-6705
www.yolocounty.org

November 24, 2008

Jennifer Kolbe, Program Monitor
Governor's Office of Homeland Security
State Capitol
Sacramento, CA 95814

Re: Yolo County HSGP Program Monitoring – 30-Day Response

Dear Ms. Kolbe:

This letter serves to document Yolo County's response to the information you requested within 30 days after the recent monitoring of our FY05, FY06, and FY07 Homeland Security Grant Program activities. This letter is being sent to you both electronically and via postal mail. The attachments referenced, however, are included only in the electronic submission in an effort to reduce paperwork. Should you desire hardcopies of these attachments, please let us know and we will send them to you.

Specifically, the following documentation is attached:

- Letter from the Yolo County General Services Director addressing compliance with the Davis-Bacon Act, NEPA, and CEQA.
- Job descriptions for Dan McCanta and Kyle Noderer when the OES program was under the Yolo County Communications Emergency Service Agency.
- Current job descriptions for myself, Kyle Noderer, and Roxane Schepens.
- A teaching resume for Bill Mikesell, who was an instructor for grant-funded training.
- Page 1 of our updated Receipt Cover Sheet that provides the sub-recipient to explicitly acknowledge that the vendor used was not on the federal debarment list.

You had also asked if the County's purchasing processes followed the requirements of the Minority Business Enterprise, Women's Business Enterprise, and the Disabled Veteran's Business Enterprise. According to our Purchasing Services Manager, our Board of Supervisors has not adopted these policies. Therefore, adhering to those requirements is not applicable.

Finally, although not part of the formal list you provided at the end of the visit, you had inquired about individual assignment of SCBA facepieces during the equipment visit to the UC Davis Fire Department. The 15 individuals who have been assigned grant funded SCBA facepieces are:

- David Anderson
- Mercado Cesilio
- Louis Cherko
- Shawn Cullen
- Scott Hatcher
- John Hodge
- Kim Jester
- Joseph Newman
- Jennifer Nilsson
- Jonathan Poganski
- Benjamin Rizzo
- David Stiles
- Gina Updegraff
- Terry Weisser
- Terry Zimmer

I look forward to the final report from your office and am pleased that you have indicated there will be no findings from this monitoring visit. Please feel free to contact this office should you have additional questions or concerns. Thank you for your assistance in this matter.

Sincerely,



William M. Martin
Emergency Services Manager
Homeland Security Authorized Agent

cc: Sharon Jensen, County Administrator
Mark Krummenacker, Office of the County Auditor-Controller
file

Primary contacts interviewed during monitoring visit

William Martin	Emergency Services Manager, Yolo County OES
Kyle Noderer	Emergency Services Planner, Yolo County OES
Roxane Schepens	Administrative Clerk – Confidential, Yolo County OES
Sgt. Louis Pires	Yolo County Sheriff's Department
Chief Tod Reddish	Woodland Fire Department
Mary Le	Hazardous Materials Specialist III, Yolo County Environmental Health
Karen Avara	Operations Manager, Yolo Emergency Communications Agency (YECA)
Chief Barry Burns	Esparto Fire District
Captain Brad Lopez	Winters Fire Department
Captain Art Mendoza	Winters Fire Department
Iben Wilson	Financial/Budget Analyst, UC Davis Fire Department
Engineer Louis Cherko	UC Davis Fire Department
Brenna Howell	West Sacramento Fire Department
Division Chief Jim Medich	West Sacramento Fire Department
Commander Nick Concolino	Yolo County Bomb Squad

We also briefly talked with

Lt. Martin Torres	Yolo County Sheriff's Department
Battalion Chief Greg Robinson	Woodland Fire Department
John Donlevy	City Manager, City of Winters
Chief Bruce Muramoto	Winters Police Department
Sgt. Terry VanHouten	Winters Police Department